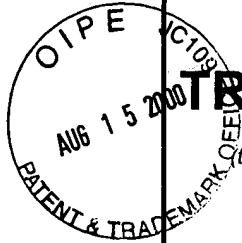


Please type a plus sign (+) inside this box → ☐

Guidant Disclosure No: 17520

Approved for use through 9/30/00. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

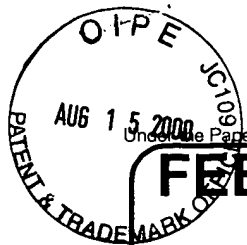
<b>Application Number</b>		09/506,081
<b>Filing Date</b>		2/16/2000
<b>First Named Inventor</b>		Jessica Chiu, et al.
<b>Group Art Unit</b>		3739
<b>Examiner Name</b>		Unassigned
<b>Total Number of Pages in This Submission</b>		<b>Attorney Docket Number</b> 003764.P025

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input checked="" type="checkbox"/> Fee Attached <input checked="" type="checkbox"/> Preliminary Amendment <input type="checkbox"/> After Final <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Checklist and Accompanying Petition <input type="checkbox"/> To Convert a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 5px;">           Postcard &amp; Check No. 00837         </div>
<b>Remarks</b> Please charge any additional fees due or credit any overpayments to Deposit Account 02-2666.		RECEIVED AUG 18 2000 TC 3700 MAIL ROOM

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT		
<b>Firm or Individual name</b>	George P. Simion, Reg. No. P-47,089	Blakely, Sokoloff, Taylor & Zafman 12400 Wilshire Boulevard Seventh Floor Los Angeles, CA 90025-1026
<b>Signature</b>		
<b>Date</b>	Aug. 11, 2000	

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: <span style="border: 1px solid black; padding: 2px;">8/11/2000</span>			
<b>Typed or printed name</b>	June Y. Criner		
<b>Signature</b>		<b>Date</b>	8/11/2000

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Guidant Disclosure No: 17520

PTO/SB/17 (12/99)

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**FREE TRANSMITTAL**  
**for FY 2000**

Patent fees are subject to annual revision.  
Small Entity payments must be supported by a small entity statement,  
otherwise large entity fees must be paid. See Forms PTO/SB/09-12.  
See 37 C.F.R. §§ 1.27 and 1.28.

**TOTAL AMOUNT OF PAYMENT (\$)** 324.00**Complete if Known**

Application Number	09/506,081
Filing Date	2/16/2000
First Named Inventor	Jessica Chiu, et al.
Examiner Name	Unassigned
Group / Art Unit	3739
Attorney Docket No.	003764.P025

**METHOD OF PAYMENT (check one)**

- 1.
- ☐
- The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-2666**Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman**☒ Charge Any Additional Fee Required  
Under 37 CFR §§ 1.16 and 1.17

- 2.
- ☒
- Payment Enclosed:**

☒ Check ☐ Money Order ☐ Other**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
101 690	201 345	Utility filing fee	
106 310	206 155	Design filing fee	
107 480	207 240	Plant filing fee	
108 690	208 345	Reissue filing fee	
114 150	214 75	Provisional filing fee	

**SUBTOTAL (1) (\$)****2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid
142	-137* = 5	18.	90.
16	-13** = 3	78.	234.

Multiple Dependent ☐ = ☐

\*\*or number previously paid, if greater; For Reissues, see below

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
103 18	203 9	Claims in excess of 20
102 78	202 39	Independent claims in excess of 3
104 260	204 130	Multiple dependent claim, if not paid
109 78	209 39	** Reissue independent claims over original patent
110 18	210 9	** Reissue claims in excess of 20 and over original patent

**SUBTOTAL (2) (\$)** 324.00**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet.	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 380	216 190	Extension for reply within second month	
117 870	217 435	Extension for reply within third month	
118 1,360	218 680	Extension for reply within fourth month	
128 1,850	228 925	Extension for reply within fifth month	
119 300	219 150	Notice of Appeal	
120 300	220 150	Filing a brief in support of an appeal	
121 260	221 130	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 110	240 55	Petition to revive - unavoidable	
141 1,210	241 605	Petition to revive - unintentional	
142 1,210	242 605	Utility issue fee (or reissue)	
143 430	243 215	Design issue fee	
144 580	244 290	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Stmt	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 690	246 345	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 690	249 345	For each additional invention to be examined (37 CFR § 1.129(b))	

Other fee (specify) \_\_\_\_\_

Other fee (specify) \_\_\_\_\_

\* Reduced by Basic Filing Fee Paid

**SUBTOTAL (3) (\$)****SUBMITTED BY**

Name (Print/Type)	George P. Simion	Registration No. (Attorney/Agent)	P-47,089	Telephone	512/330-0844
Signature		Date	Aug. 11, 2000		

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*U. Douglas*  
*#6 Prea*



Attorney Docket Number: 3764.P025

*9/8/00*

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:	)	
	)	
CHIU, J., et al.	)	Examiner: Unassigned
	)	
Application No.: 09/506,081	)	Art Unit: 3739
	)	
Filed: February 16, 2000	)	
	)	
For: MULTI-LUMEN FLUTED BALLOON	)	
<u>RADIATION CENTERING CATHETER)</u>	)	

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

**PRELIMINARY AMENDMENT**

Applicant respectfully requests that this Preliminary Amendment be entered prior to examination of the above-identified patent application.

IN THE CLAIMS

08/17/2000 YPOLITE1 00000051 09506081

01 FC:102  
02 FC:103

234.00 OP  
90.00 OP

Please add new claims 138-142.

138. (New) A balloon catheter assembly comprising:

a multi-lumen balloon having a plurality of inflatable outer lumens disposed around  
a central lumen; and

a catheter shaft disposed proximate to the multi-lumen balloon and coupled to the  
multi-lumen balloon, the catheter shaft including a shaft inner lumen through at least a

*a1*